Information Management Planning Guide

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GOVERNMENT OF ALBERTA

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1. Introduction

The Government of Alberta is committed to managing its information assets to support service delivery to Albertans, efficient and effective operations and to protect the value of its investments. The Information Management Framework[1] outlines principles and directives for managing all government information assets.

Implementing the principles and directives of the Information Management Framework requires a significant amount of planning.

This guide is intended for those responsible for information management within ministries in the Government of Alberta to assist them in developing ministry information management plans that align with the Corporate Information Management plan available at www.im.gov.ab.ca/imf/pdf/InfoMgmtStrategicPlan.pdf.

The guide is organized around the key stages in the planning process. At the end of each section is a checklist to prompt you about the key activities or actions within that stage.

The need for information planning

There are several business reasons for developing ongoing information management plans. These include:

- **Service Delivery**. Information assets are core to the business of the ministry and government. Better information management can improve the delivery of services to clients, stakeholders and the public and support the service excellence agenda promoted by Service Alberta and key cross-ministry initiative objectives.
- **Limited resources**. Information management covers a wide range of activities. It is impossible to address all areas of information management at the same time on a continuous basis. Developing a plan will help you set priorities and improve the management of information to support your ministry's business objectives.

[1] The framework, "Managing Information Assets in the Government of Alberta," was adopted by Deputy Ministers Committee in April 2003. It is available at www.im.gov.ab.ca.

- **Different levels of readiness**. Within your organization, different business units will be at various stages of readiness. Attempting to change information management practices prematurely can lead to failure. Planning can help you assess "where to begin."
- **Linking information management planning to other planning activities**. The Government of Alberta has a strong commitment to business planning, operational planning and other planning activities such as information technology and business continuity as well as knowledge management. Information management planning should be integrated with these other business planning activities.
- **Coordination**. Developing ministry information management plans can lead to greater coordination across the ministry. This coordination can help you identify needs as well as implement and leverage best practices across the ministry.
- **Life-cycle management**. Planning can help assure you that you are addressing issues of information management throughout the life-cycle of information assets (see Figure 1).

Figure 1
Information Planning In Context

Scope of the plan

A comprehensive information management plan should address the following areas:

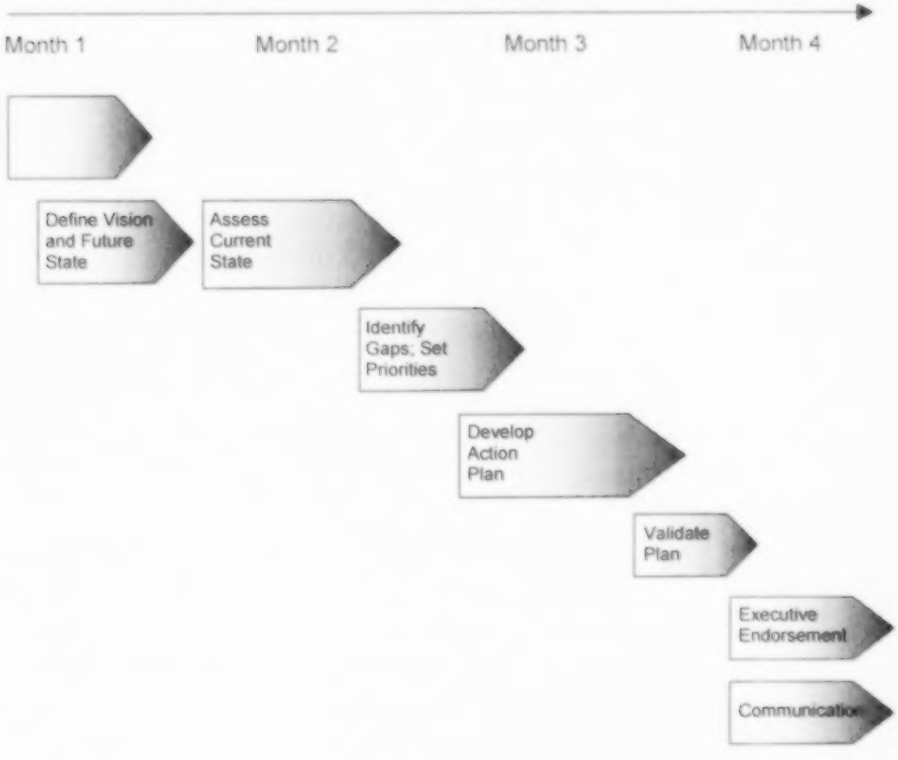
- recorded information management (paper and electronic);
- data and database management;
- the development and evaluation of information products and services;
- coordination and accountability;
- skills development and training;
- communications and awareness; and
- evaluating progress in information management.
- It might also encompass knowledge management or be linked with its planning.

Developing the plan

Your information management plan can be developed in a relatively short period of time – three to four months. The timing of information management planning should coincide with business and IT planning in your ministry. In this way, the plan will address business direction and the activities outlined in your plan can be included in your budget planning.

Figure 2 outlines the key steps in developing the plan.

Figure 2
Developing the Information Management Plan



Establish project team. Members should represent a mix of information practitioner communities (e.g. information management, records management, web management, libraries, knowledge management and IT) and business units of the organization.

Define vision and future state. Before developing the plan, the team should define the vision and future state that you are trying to achieve. The vision and guiding principles of the Information Management Framework can set the stage for this discussion. However, it is important to define the future state in terms of the ministry's business objectives and operating environment. You'll want to consider broader Government of Alberta priorities as well as industry (national and international) standards and practices.

Assess current state. It is important to understand current practices related to information management. This will help you identify gaps and recognize where you are starting from.

Identify gaps and set priorities. By comparing the results of the interviews, survey and/or benchmarking, the project team can then begin to identify gaps between current practices and the planned future state. For each gap, you'll need to assess "what needs to be done," "what is the level of effort required," and "what is the likely impact on the organization."

Develop the action plan. Based on your assessment of priorities, the next stage is to develop the action plan. The action plan should address all gaps. Typically, the action plan will be a three year strategic and tactical plan to improve information management practices in your ministry with the outcome of moving closer to the future state identified earlier in the process. The action plan should include an estimate of resources – both human and financial – required to carry out the plan.

Validate the plan. Because information management occurs in a distributed manner in most organizations, it is important to validate your plan with staff. This will allow you the opportunity to gain "buy-in" and to show how the plan will improve productivity and help the ministry achieve its business objectives. Based on the validation, you may end up making adjustments to the plan.

Executive endorsement and communication. Involve your executive management. Endorsement of the plan by executives will help integrate information planning into the strategic direction of the ministry. With executive endorsement, you can then implement your communications strategy for the plan.

2.
Establish Planning Team

Objective

Today's reality is that information management occurs in a distributed manner throughout the organization. Everyone is an information manager!

While information professionals (Records and Information Management specialists, Library staff, FOIP Coordinators, Information Technology Specialists, Knowledge Management specialists) provide expertise and support, they can't do it all.

Establishing a planning team can help ensure the plan is business-driven and support a more integrated approach to information management.

Who to involve

The core planning team should have representatives from the range of information practitioner communities appropriate to your ministry. These typically include:

- Records management
- Information management
- Knowledge management
- Freedom of information and protection of privacy (FOIP) legislation
- Libraries
- Communications
- Web management
- Information technology services (including architecture, security)
- Archivist
- Business continuity planning

The team should also include representatives from major business units or programs.

While the involvement of the team lead is likely to be substantial, the amount of time required from team members is likely to be about 1-2 days a month over the planning period. This time will be spent in preparation for meetings and review of documents, team meetings, developing the vision, setting priorities, validating the action plan and communicating with their business units.

Activities

The following activities typically occur at the beginning of the planning cycle:

1. **Develop project charter or terms of reference**. This will ensure everyone understands the nature of the work to be done and the expected outcomes. The project charter should include how the project will be managed (governance model) and a high-level communications plan – how you plan to communicate to staff and others about the planning process. It is important to get the project charter endorsed by executive decision-makers. This will ensure that you are able to get business units involved in the planning process.

2. **Review and discuss the Government of Alberta Information Management Framework**. Everyone on the team should be familiar with this asset management framework and what it means for your ministry. The Framework can be found at www.im.gov.ab.ca. Alberta Government Services (Information Management Branch) is also available to provide support.

3. **Identify documentation to be reviewed**. What is in place in your organization, or elsewhere, that will support the planning process? For example, if you have an information plan in place, the team should review the plan to see where "you have been," and "where you are." You will also need to review the regulatory environment that affects the activities and requirements to document activities because records management policies and procedures should reflect the application of the regulatory environment to your business processes. Your ministry business plan and IT plan should also be reviewed. Finally, government, national and international standards and resources such as the "ISO Standard 15489: Information and Documentation" will also support the planning team's work.

4. **Develop a detailed communications plan**. It is important to map your communications activities throughout each stage of the planning process. How are you going to let management and staff know about the planning process and the results? Your communications plan should include the timing of presentations to Executive Committee or to the Senior Management Team. You might also consider an announcement in a ministry staff newsletter or on the ministry intranet.

5. **Approve project plan**. A typical planning cycle is about 3-4 months. However, to ensure you stay on target, establish a clear project plan with team meetings and key milestones noted in the plan.

Checklist

- ❑ Do you have adequate representation from business units?
- ❑ Do you have a project charter or terms of reference for the planning team?
- ❑ Is a presentation to Executive Committee or Senior Management Team needed?
- ❑ Do you have the commitment of team members for the needed amount of time?
- ❑ How will you communicate to staff about the planning process?

3.
Define Vision and Future State

Objective

The expression "if you don't know where you want to go, it's hard to plan the journey," holds true for information planning. Early in the process, it is important for the planning team to have a vision of what the future state for information management is in your ministry.

Activities

A facilitated "visioning" session can help the team develop both the vision and guiding principles. Your ministry's business plan and Information Management Framework can guide your thinking on this. If your ministry is planning around knowledge management, it is important to make the link between information management and effective knowledge management.

It is important that the team develop a clear vision and set of guiding principles that make sense in the context of your ministry. How does information management support your business objectives? What information management behaviours are critical to your success?

After the planning team has developed the vision and guiding principles, you may want to conduct sessions with other managers and staff in the ministry to make sure the vision and guiding principles communicate clearly what you are trying to achieve. This will also build awareness of the planning process and the issues you are dealing with.

The output from this stage of planning is an articulation of your vision and guiding principles for information management in your ministry.

Checklist

- ❑ Have you clearly articulated a vision and guiding principles for information management in your ministry?
- ❑ Do you need to involve others in validating these?

4.
Assess Current State

Objective

The plan needs to take into account where you are today – your current information management practices. It is important to fully document a wide range of practices related to information management, including:

- recorded information management,
- data and database management,
- managing information products and services,
- coordination and accountability,
- skills development and training needs, and
- the integration of information planning with other planning activities.
- In some ministries, knowledge management may also be included.

Activities

There are many ways to conduct the assessment of the current situation. These include:

- **Environmental scan**. While the focus of this stage of the planning process is on the current state within your ministry, it can be instructive to look at what other ministries have done or are doing in terms of information management. You may also want to look at ministries involved in the same business areas in other jurisdictions.
- **Interviews with senior managers and executives**. Executives and managers will have their own perspective on the importance of information management to the business and where they think you are at risk currently as a result of weak information management practices. A sample interview guide can be found in Appendix 1.
- **Self-assessment workshops with line managers and staff**. One of the best ways to assess current practices is to conduct workshops with line managers and staff. A self-assessment tool can be used in these workshops. A sample tool, based on the Government of Alberta Information Management Framework can be found in Appendix 2.
- **Online staff surveys**. A survey of staff gives you a quantitative assessment of current practices. The value of the survey is to ensure that all staff in the ministry have an opportunity to have input into the planning process.
- **Consultation with external stakeholders**. If your ministry produces a lot of information products and services, or it involves partners in service delivery, your information management practices may affect these clients

and partners. Consulting with them can give you an indication of what is working, what is not working and opportunities for improvement.

You may want to use a combination of these methods.

Most organizations find that practices vary widely across the organization. There are examples of very good information management practices and there are examples of weak information management practices. Information management practices also vary depending on the medium in which records and information are kept (i.e. management of electronic information is usually more varied and less disciplined than management of paper records).

The expected outcome of this stage is both quantitative and qualitative information that adequately describes the current state of information management in the ministry.

Using the self-assessment tool

The self-assessment tool (see Appendix 2) is organized around the directives of the Information Management Framework. As you move through the tool, you will need to focus on a number of issues. These issues include:

Recorded information management

Records management governs the practice both of records managers and of any person who creates, receives or uses records in the course of their business activities.

The Government of Alberta is committed to ISO Standard 15489 – "Information and Documentation (Records Management)." A copy of this standard may be purchased on-line from the ISO Store at www.iso.org/iso/en/prods-services/ISOstore/store.html.

The core principles of records management are to maintain the authenticity, reliability, integrity and usability of recorded information.

Authenticity. An authentic record is one that can be proven to

- be what it purports to be,
- have been created or sent by the person purported to have created or sent it, and
- have been created or sent at the time purported.

To ensure the authenticity of records, organizations should implement and document policies and procedures which control the creation, receipt,

transmission, maintenance and disposition of records to ensure that records creators are authorized and identified and that records are protected against unauthorized addition, deletion, alteration, and use.

Reliability. A reliable record is one whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

Integrity. The integrity of a record refers to its being complete and unaltered. Records should be protected against unauthorized alteration. Records management policies and procedures should specify what additions or annotations may be made to a record after it is created, under what circumstances additions or annotations may be authorized, and who is authorized to make them. Any authorized annotation, addition or deletion to a record should be explicitly indicated and traceable.

Usability. A useable record is one that can be located, retrieved, presented and interpreted. It should be capable of subsequent presentation as directly connected to the business activity or transaction that produced it.

During the self-assessment, you will need to consider the following:

- **Records are captured into your ministry information management repository**. Are all records of business activities captured? Is there a clear business reason for collecting or creating the record?
- **Retention and disposition schedules**. Are they complete and up-to-date?
- **Classification**. Is the records classification structure up-to-date and understood and used by staff?
- **Metadata**. Are recordkeeping metadata standards in place?
- **Vocabulary controls**. Do you need to establish vocabulary controls (i.e. a taxonomy) related to your business to support metadata requirements?
- **Storage and handling**. Are current storage practices adequate to meet the principles of usability, reliability, authenticity, and integrity?
- **Access**. Are access guidelines articulated and followed?
- **Security**. Are practices in place to label, transmit and store protected, confidential and restricted records?
- **Tracking**. Are appropriate tracking mechanisms in place to enable retrieval of records and prevent loss of records?
- **Vital records**. Are vital records identified and protected?
- **Disposition**. Are disposition processes being followed?

More and more, the business of government is conducted in an electronic environment.

The information management plan should address the issue of consistency of management of records, regardless of medium. In practice, you'll need to assess the degree to which electronic records are adequately managed to meet the principles of usability, reliability, authenticity, and integrity.

Records management practices will affect the principles of **accessibility**, **usability**, an **integrated approach**, and **optimizing the value of information assets**.

Data and database management

Most ministries have developed databases over a period of time to meet different business needs. Often, different data standards have been used, depending on the original need for the database.

As more and more government work is performed in conjunction with partners and stakeholders, data standards may need to be reviewed to ensure that all users are using common standards.[2]

Database standards affect the **accessibility** of information.

Information products and services

All ministries produce information products and services. The range of these products and services is enormous – from general interest Internet sites, to specialized print and electronic publications, to highly specialized transactional services for clients.

The information management plan should (a) help business units manage these products and services in a disciplined manner and (b) identify new opportunities for products and services to meet the business needs of the ministry.

Information products and services should have a product plan in place. The product plan includes:

[2] The Government of Alberta has established many common data standards at the corporate level. These can be found on the shared repository at www.sharp.gov.ab.ca.

- **Objective**. A brief description of the objective of the product (what you are trying to achieve).
- **Description**. Identification of the intended audience, the value to the user, and the relevance of the product to the ministry's business.
- **Product management**. Identification of responsibilities for managing the product (individual or team).
- **Content management**. An outline of the content and plan for ongoing management (creating reviewing, approving, updating, deleting) of content.
- **Marketing plan**. Activities planned to market or promote the product with the intended audience.
- **Quality control and evaluation plan**. Activities planned to evaluate whether the product continues to meet the needs of users as well as evaluation of the viability and business value of the product (this will require setting the appropriate time to evaluate based on the time needed to fully develop and implement the product).

In addition to developing greater discipline around individual product management, ministries may want to establish publishing standards and practices related to management of Internet and intranet sites.

Information management practices should also be in place to identify new product opportunities. This includes identifying synergies with products produced by other ministries and others (e.g. other levels of government) to improve the value of information products and services to clients.

Practices related to the management of information products and services will affect both **accessibility** and **usability** of information.

Accountability and coordination

Ongoing management of information requires clear articulation of accountability. Most ministries also find that some degree of coordination is required. Relevant issues include:

- **Executive champion**. The Information Management Framework requires all ministries to designate an executive champion for information management.
- **Accountabilities for information management**. An accountability framework that articulates accountability for information management, including high level accountability of the executives, as well as accountability of program managers, staff, and information practitioners (e.g. FOIP, Records Management, Information Management, IT Management).
- **Mechanism for coordination**. A mechanism to enable the various information management communities to act in a coordinated way.
- **Mechanism for ongoing management of the plan**. While one branch or business unit might be charged with leading the plan, a mechanism needs to be established to (a) identify new strategic objectives and needs for information management and (b) enable business units to leverage practices. Many ministries have established an Information Management Coordinating Committee to meet this need.

These practices support the principle of **accountability** in the Information Management Framework. For further guidance on accountability, see the Accountability for Information Management: A Model available at www.im.gov.ab.ca/publications/pdf/InfoMgmtAccountabilityModel.pdf

Skills development and training

The assessment should address ongoing skills development and training requirements related to information management. These include:

- skills development and training for information management professionals;
- a plan for the in-house customization (if required) and delivery of "Managing Information @ Work," (www.im.gov.ab.ca/index.cfm?page=secure/miw/)or its equivalent; and
- the need for and plan for providing any supplementary training for staff related to information management practices (e.g. training in transitory records; using metadata) and/or the use of information management tools (e.g. use of common drives, use of electronic mail and electronic information management (EIM) technology use).
- Skills development and training support the principle of an **integrated approach** to information management.

Linking information planning to other planning activities

The assessment will also identify the extent to which information planning is linked to the following planning activities already established within the Government of Alberta:

- **Business and budget planning**. Is information that supports the core businesses, goals and strategies identified?
- **Operational planning**. Are information needs to support operational activities identified? Where will the information come from? Who will manage it? Can its value be leveraged in other parts of the ministry or with other ministries?
- **Information technology planning**. Is information management planning integrated with the annual information technology plan?
- **Business continuity planning**. Are vital records identified? Are practices in place to ensure information is accessible to support business continuity?

Integrating information planning with other planning activities supports the principle of a **planned and coordinated approach**.

Checklist

- ❑ Have you identified what methods you'll use to document the current state?
- ❑ Have you identified the participants for interviews and/or workshops?
- ❑ Have you documented the results – both quantitative and qualitative – that explain the current state of information management in the ministry?

5.
Identify Gaps, Scope Solutions, Set Priorities

Objective

The assessment of current practices gives you a clear picture of where you are. The objective of this stage is to

- compare where you are and where you want to be,
- identify a means of getting there, and
- setting priorities.

Activities

This stage will involve intensive discussion among the planning team.

1. Identify opportunities based on the "gap" analysis. Opportunities can be related to single practices or a collection of information management practices.

2. Define the scope of each opportunity, including:
   - what can be done,
   - who needs to be involved,
   - what will it cost,
   - how long it will take, and
   - what is the expected outcome.

3. Establish priorities. It is quite likely that you'll identify more opportunities than you have resources to address.

The matrix in Figure 3 can help you plot these activities based on the level of effort and the impact on the ministry.

Figure 3
Assessing Gaps and Setting Priorities

Checklist

- ❑ Have you documented and scoped all of the opportunities?
- ❑ Have you identified a manageable number of priorities – both short-term (quick wins) and longer term?

6.
Develop the Plan

Objective

To document the ministry information management plan.

Plan Content

The actual plan can take many forms. Links to sample plans from various ministries can be found on the secure portion of the Information Management web site at www.im.gov.ab.ca in the resource room.

To be consistent with government planning cycles, the plan should cover a three-year period. This will allow you to map out opportunities both for the short-term (1 year) and longer term. It will also allow your plan to be modified annually as you realize opportunities and identify new priorities.

Typically, information management plans contain the following components:

- Executive Summary
- The Vision and Guiding Principles. An articulation of your future state.
- The Current State. Documented evidence of current practices.
- The Action Plan. Identification of opportunities, including timing, resources, performance measures and implementation issues (change management).
- Accountability and Coordination. Mechanisms you are going to put in place to establish clear accountabilities and coordination.
- Communications and Awareness. A communications strategy to build awareness for the plan, the direction of the ministry regarding information management, and individual activities within the plan. A sample communications strategy for an IM plan is presented in Appendix 3.
- Evaluation. How you will evaluate outcomes for (a) specific components of your plan and/or (b) the plan as a whole.

Checklist

- ❑ Have you included all necessary components of the plan?
- ❑ Is your action plan manageable?
- ❑ Have you taken into account interdependencies among the action items that may affect the timing of each?
- ❑ Have you budgeted appropriate resources for the plan?

7.
Validate Plan, Executive Endorsement and Communication

Objective

Before proceeding with the plan, you'll want to make sure it addresses the priorities of those you consulted earlier in the process. Some sort of validation process is highly recommended.

Activities

There are many ways you can approach the validation stage. First, planning team members can communicate the draft plan to their colleagues and bring the feedback back to the full team for discussion.

Alternatively, you could conduct workshops with the same individuals who participated in workshops during the assessment of the current state. The value of this method is it allows you to communicate the plan to those who had input into the process. It enables you to show that you "listened," and can be valuable in building awareness and support for the plan.

After validating the plan, executive endorsement will raise the visibility of the plan and demonstrate the ministry's support to a more planned and disciplined approach to information management.

Checklist

- ❑ How are you going to validate the plan?
- ❑ What key messages will build understanding and support for the plan?
- ❑ What key messages will "sell" the plan to executives?
- ❑ How will you communicate the plan to staff?

Appendix 1: Sample Interview Guide (Analysis of Current Practices)

NOTE:

These questions are a guide only. The interview will flow based on the responses from the interviewee. Thus, the order of questions may change. There is flexibility in each interview to discuss the issues of primary importance to the business area represented or the individual being interviewed. The questions/topics listed here have been broken down by audience. The interviewee will be briefly introduced to the project and its goals.

Executives

1. From your point of view, what is the biggest risk facing [department name] with respect to records and information management?

2. What, in your view, is the biggest opportunity for improved management practices around records and information at [department name].

3. Have you established accountability statements with respect to records and information management at [department]?

4. What would you like to see the strategy address?

Managers/Business Areas

1. What types of records and information does your business area deal with? What percentage are in print? What percentage are in electronic form (databases, MS Office applications, other electronic formats)?

2. Is there a consistent use of records classification in your business area? What about consistent practices around managing electronic files? E-mail?

3. Where is your business area at greatest risk in terms of its records and information holdings?

4. Who in the department (other than your immediate business area) needs access to the information you collect or create?

5. [If there are information products and services out of the area.] Do you have procedures in place for (a) assessing user needs, (b) quality control on for the information product or service, (c) user feedback and evaluation? If yes to any of these, explore.

6. Are there records for which your area is responsible that exist solely in .html or other format on the Internet/Intranet?

7. What happens in terms of records and electronic information when (a) someone joins the area [i.e. entry strategies on procedures] and (b) leaves the business area [i.e. exit strategies for recovery of records and electronic information]?

8. Does your area have any practices around labeling of records or electronic documents that are available for routine disclosure? Are documents labeled for security purposes (levels of access, or information containing confidential information)? If not, how is the appropriate level of security assured?

9. How well is information and records management planning integrated into (a) business planning for your area, (b) operational planning, (c) project planning, (d) risk assessment? Explore all relevant areas.

10. What accountability structures are in place in your area for records and information management? Is records and information management ever discussed at (a) branch meetings and/or (b) performance reviews?

11. What is the biggest challenge for you and your staff with respect managing (a) print records, (b) electronic information, (c) e-mail?

12. What, in your view, is the biggest challenge facing [the department] in terms of records and information management?

13. What, in your view, is the biggest opportunity for improving the management of records and information at [department]?

14. What, in your view, should the records and information management strategy address?

Appendix 2:
Self-Assessment Tool

NOTE:

The Alberta Government has developed a management framework for managing information assets across the government.

This tool has been developed to help you assess current information management practices. The tool is organized by key information management practices.

A four-point rating scale can be used for each practice. The scale is:

1. **Ad Hoc**. No systematic or formal approach exists for this. Processes and practices are fragmented or non-existent. Where processes and practices exist, they are applied in an ad hoc manner.
2. **Defined**. Process and practices are defined to varying degrees but are not applied consistently. Only basic management controls and disciplines are in place.
3. **Managed**. Processes and practices are defined, well understood and used consistently across the organization. Processes and practices are also well documented, measured and managed.
4. **Integrated**. This practice is integrated into the values of the organization and consistently applied.

Recorded Information Management

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Shared drives are accessible across the ministry.					
A records classification structure is established for the entire ministry.					
Records retention and disposition schedules are established and up-to-date.					
Consistent practices are applied to information assets, regardless of medium.					
Metadata standards and procedures for electronic information assets are in place.					
Consistent naming conventions are used for electronic documents.					
Policies or standards for access to information (e.g. identifying public information, distinguishing between public information and information that is protected, confidential, or restricted) are implemented.					
Procedures are in place for identifying information that is publicly available or can be released on a routine basis.					
A taxonomy to describe the ministry's business is established.					
All official records are captured into the ministry's records management system.					
Vital records are identified and protected.					
Information of enduring value is identified and preserved.					
Security classification practices are in place to protect confidential information and other information that should be protected.					
Disposition processes are established.					
Other (specify)					
Other (specify)					

Data and Database Management

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Data standards are in place and consistently used.					
Data standards facilitate analysis and reporting as well as the sharing of information across systems and with clients.					
Information systems allow for the sharing of information across different parts of the ministry.					
System development procedures include specific plans related to access and retrieval of information by staff, by other ministries and by the public.					
An inventory or map of information repositories has been developed.					
Other (specify)					
Other (specify)					

Recorded Information Management

Shared drives are accessible across the ministry					
A records classification structure is established for the entire ministry					
Records retention and disposition schedules are established and up-to-date					
Consistent practices are applied to information assets, regardless of medium					
Metadata standards and procedures for electronic information assets are in place					
Consistent naming conventions are used for electronic documents					
Policies or standards for access to information (e.g. identifying public information, distinguishing between public information and information that is protected, confidential, or restricted) are implemented					
Procedures are in place for identifying information that is publicly available or can be released on a routine basis					
A taxonomy to describe the ministry's business is established					
All official records are captured into the ministry's records management system					
Vital records are identified and protected					
Information of enduring value is identified and preserved					
Security classification practices are in place to protect confidential information and other information that should be protected					
Disposition processes are established					
Other (specify)					
Other (specify)					

Data and Database Management

Data standards are in place and consistently used					
Data standards facilitate analysis and reporting as well as the sharing of information across systems and with clients					
Information systems allow for the sharing of information across different parts of the ministry					
System development procedures include specific plans related to access and retrieval of information by staff, by other ministries and by the public					
An inventory or map of information repositories has been developed					
Other (specify)					
Other (specify)					

Information Products and Services

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
A long-term strategy for the electronic delivery of information to stakeholders and the public is established.					
Standard protocols or practices related to management of information products and services (e.g. product plan, marketing plan, evaluation plan, and formation of product team) are established.					
Demand and user needs for electronic information products and services is documented.					
Service level standards (e.g. response time, transaction completion time, and availability of service) for electronic delivery of information are established.					
A content management strategy related to delivery of information products and services over the Internet is in place.					
Regular assessments of user needs as they relate to information are conducted.					
Documented procedures for quality control related to information products and services (accuracy, integrity, authenticity) are established.					
Procedures and timelines for reviewing information products and services are established.					
An up-to-date inventory of information products and services is in place.					
Intellectual property is identified and protected.					
Other (specify)					
Other (specify)					

Accountability and Coordination

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
An "executive champion" for information management exists.					
A formal coordinating body for information management is established.					
Information is recognized as a strategic asset requiring stewardship.					
An accountability structure for all personnel is established.					
Responsibilities for information management professionals are established.					
Performance in information management is assessed.					
Exceptional contributions to information management are recognized and rewarded.					
Expertise and service delivery is coordinated between the various information management disciplines.					
Other (specify)					
Other (specify)					

Training and Skills Development

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
Core competencies have been identified as they relate to information management.					
Information management training is available to staff (e.g. transitory records training or Managing Information @ Work).					
Competencies have been identified for information management professionals (e.g. libraries, Internet, records management, publishing, etc.).					
Professional development plans are in place for information management professionals.					
Other (specify)					
Other (specify)					

Integration with Other Planning Activities

Practice	1. Ad Hoc	2. Defined	3. Managed	4. Integrated	Remarks/Examples
IM planning is integrated with the business planning cycle.					
Information planning is linked to the annual IT plan.					
Information planning is part of business continuity planning.					
Information planning is integrated with financial planning.					
Information planning is a part of succession planning.					
Other (specify)					
Other (specify)					

Appendix 3:
Sample Communications Plan

Introduction

This plan is meant to guide initial communications activities related to the Information Management Strategy at [ministry name]. The plan will be updated annually.

Objectives

The following objectives have been identified for 2004-2005:

1. Build awareness of the Information Management Strategy.
2. Build an understanding among branches about how the strategy will be implemented to support business practices though coaching and support.
3. Position the [branch name] as the "focal point" for improved information management practices within the department.

On the following pages target audiences, key messages, activities and targets for each of these objectives are identified.

Building Awareness

Target Audiences	Key Messages	Activities	Target Outcomes
Executives and managers Line staff within branches	The strategy and action plan will support a consistent and disciplined approach to managing information to support business needs. It is a departmental strategy that must be managed and implemented locally (within branches). There are best practices to draw from. [Name of Branch] will champion the initiatives and support implementation.	Information Management section of department Intranet [Date 2004] IM Strategy and Action Plan posted on the IM web site [Date 2004] Core PowerPoint presentation to be used in branch meetings [Date 2004] Presentation to Executive Committee [Date 2004] Bi-monthly brown bag lunches on selected topics [Date 2004 and ongoing] "Tip of the Month" posted on Intranet with notice sent to staff	80% of staff are aware of ministry Information Management Strategy. 60% of staff know where to find "tips," guidelines and best practices for IM on department Intranet. Presentation to all branches by [Date 2005].

Building Understanding In Branches

Target Audiences	Key Messages	Activities	Target Outcomes
Branch management Line staff	What the strategy means for branches. What's happening. How to access tools and best practices (focal point for sharing).	Branch meetings (agenda item once each quarter) [Ongoing]	Presentation to all branches prior to [Date 2005] Branch IM designates selected and known by branch staff.

Position [branch] as 'focal point' for IM initiatives

Target Audiences	Key Messages	Activities	Target Outcomes
Executive Committee Branch Managers Line staff	Update on IM initiatives, and progress made. Identifying issues that need greater coordination.	Quarterly update to Executive Committee [Ongoing] Monthly meetings of Information Management Coordinating Committee [Ongoing] Bi-monthly brown-bag lunches/seminars [Ongoing]	Effective coordination as evidenced by satisfaction of IMCC members with roles and achievements. 80% of staff know and are satisfied with leadership provided by [Name of Branch]. Quarterly IM updates to Executive Committee.

Appendix 4: Resources

- The following resources may also be of assistance to you in assessing your information and records management program and in preparing a strategic IM plan for your organization:
- Government of Canada, Information Management Capacity Check (www.collectionscanada.ca/information-management/0603/060301_e.html)
- ARMA International, RIM e-Assessment (to view and order, see www.netdiligence.com and www.arma.org)
- International Records Management Trust, Records Management Capacity Assessment System (www.irmt.org)